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| Substitute for Form PTO-1390 | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER 018912-170 |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/550596 |
| INTERNATIONAL APPLICATION NO. PCT/JP2004/003987 | INTERNATIONAL FILING DATE March 23, 2004 | PRIORITY DATE CLAIMED March 23, 2003 | | |
| TITLE OF INVENTION TWO-DIMENSIONAL PHOTONIC CRYSTAL SURFACE-EMITTING LASER | | | | |
| APPLICANT(S) FOR DO/EO/US NODA, Susumu; YOKOYAMA, Mitsuru; SEKINE, Koujiro and MIYAI, Eiji | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | |
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission to items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (22) indicated below. 4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input checked="" type="checkbox"/> has been communicated by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | | |
| Items 11 to 21 below concern document(s) or information included: | | | | |
| <ol style="list-style-type: none"> 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A FIRST preliminary amendment. 14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A change of power of attorney and/or address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821 - 1.825. 18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: <u>General Authorization, Application Data Sheet and PCT/ISA/210</u> <hr/><hr/><hr/><hr/> | | | | |

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| U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/550596 | INTERNATIONAL APPLICATION NO. PCT/JP2004/003987 | ATTORNEY'S DOCKET NUMBER 018912-170 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| | | CALCULATIONS PTO USE ONLY | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>21. <input checked="" type="checkbox"/> Applicant(s) requests that the published application include the following assignment information: <u>JAPAN SCIENCE AND TECHNOLOGY AGENCY, Kawaguchi-shi, Japan</u></p> <hr/> <hr/> <hr/> <hr/> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>22. <input checked="" type="checkbox"/> The following fees are submitted:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 75%;">Basic Filing Fee (1631)</td> <td style="width: 25%; text-align: right;">\$ 300.00</td> </tr> <tr> <td colspan="2">Surcharge of \$130.00 (1617) for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).</td> </tr> <tr> <td colspan="2" style="text-align: center;">CLAIMS NUMBER FILED NUMBER EXTRA RATE \$</td> </tr> <tr> <td>Total Claims</td> <td>8</td> <td>-20 =</td> <td>0</td> <td>× \$50.00 (1615)</td> <td>\$ 0.00</td> </tr> <tr> <td>Independent Claims</td> <td>2</td> <td>- 3 =</td> <td>0</td> <td>× \$200.00 (1614)</td> <td>\$ 0.00</td> </tr> <tr> <td colspan="2">MULTIPLE DEPENDENT CLAIM(S) (if applicable)</td> <td colspan="4">+ \$360.00 (1616)</td> </tr> <tr> <td colspan="2">Examination Fee</td> <td colspan="4">+ \$200.00 (1633) \$ 200.00</td> </tr> <tr> <td colspan="2">Search Fee</td> <td colspan="4">+ \$400.00 (1432) \$ 400.00</td> </tr> <tr> <td colspan="2">App. Size Fee (add \$250.00 for each add'l 50 sheets exceeding 100 sheets)</td> <td colspan="4"></td> </tr> <tr> <td colspan="2"></td> <td colspan="4" style="text-align: center;">TOTAL OF ABOVE CALCULATIONS = \$ 900.00</td> </tr> <tr> <td colspan="2"> <input type="checkbox"/> Applicant claims small entity status. 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A duplicate copy of this sheet is enclosed.</p> <p>d. <input checked="" type="checkbox"/> Charge <u>\$ 900.00</u> to credit card. Form PTO-2038 is attached.</p> </td> </tr> <tr> <td colspan="6"> <p>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</p> </td> </tr> <tr> <td colspan="6"> <p>SEND ALL CORRESPONDENCE TO:</p> <p>Burns, Doane, Swecker & Mathis, L.L.P. P.O. Box 1404 Alexandria, Virginia 22313-1404 (703) 836-6620</p> </td> </tr> <tr> <td colspan="6" style="text-align: center;">  SIGNATURE <hr/> William C. Rowland NAME <hr/> 30,888 September 23, 2005 REGISTRATION NO. DATE </td> </tr> </table> | | Basic Filing Fee (1631) | \$ 300.00 | Surcharge of \$130.00 (1617) for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | CLAIMS NUMBER FILED NUMBER EXTRA RATE \$ | | Total Claims | 8 | -20 = | 0 | × \$50.00 (1615) | \$ 0.00 | Independent Claims | 2 | - 3 = | 0 | × \$200.00 (1614) | \$ 0.00 | MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | + \$360.00 (1616) | | | | Examination Fee | | + \$200.00 (1633) \$ 200.00 | | | | Search Fee | | + \$400.00 (1432) \$ 400.00 | | | | App. Size Fee (add \$250.00 for each add'l 50 sheets exceeding 100 sheets) | | | | | | | | TOTAL OF ABOVE CALCULATIONS = \$ 900.00 | | | | <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. 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| CLAIMS NUMBER FILED NUMBER EXTRA RATE \$ | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Total Claims | 8 | -20 = | 0 | × \$50.00 (1615) | \$ 0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Independent Claims | 2 | - 3 = | 0 | × \$200.00 (1614) | \$ 0.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | + \$360.00 (1616) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Examination Fee | | + \$200.00 (1633) \$ 200.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Search Fee | | + \$400.00 (1432) \$ 400.00 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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| | | Amount to be refunded : charged : | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
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|  SIGNATURE <hr/> William C. Rowland NAME <hr/> 30,888 September 23, 2005 REGISTRATION NO. DATE | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |